



DEPARTMENT OF THE NAVY
OFFICE OF THE ASSISTANT SECRETARY
(Research, Development and Acquisition)
WASHINGTON, D.C. 20350-1000

OCT 21 2003

MEMORANDUM FOR DISTRIBUTION

**Subj: DELEGATION OF APPROVAL AUTHORITY FOR RDT&E,N BELOW
THRESHOLD REPROGRAMMING AND ADMINISTRATIVE ALLOCATION
ADJUSTMENTS FOR FY03 AND FY04**

Ref: (a) ASN(RD&A) memo of 21 Jan 00
(b) ONR 08 memo 7100 Ser 08E1/050 of 30 Jun 98

Encl: (1) Concurrence Memo Format
(2) Deficiency Impact Statement Format
(3) Reduction Impact Statement Format

1. Previous delegation of RDT&E,N Below Threshold Reprogramming (BTR) authority, reference (a), is hereby rescinded. By direction of this memo, the following guidelines are now in effect for RDT&E,N BTR actions for FY03 and FY04.

ACAT I Through IV Programs:

For cumulative adjustments up to and including +/- \$3.999M:

- Within a single claimancy, authority is delegated to the individual claimant.

Between claimants when there is concurrence among the individual claimants, authority is delegated to the individual claimants involved. Concurrence among individual claimants must be provided, using enclosure (1), to the RDT&E,N Responsible Office (ONR 811) via ONR 81C (Pentagon). The written concurrence must be endorsed by an authorized official from each claimancy. Upon receipt of a completed enclosure (1), RDT&E,N RO will execute the adjustment.

When concurrence among claimants is not obtained authority is delegated to DASN (Management and Budget). The required format for obtaining DASN(M&B) approval is provided in enclosures (2) and (3).

For cumulative adjustments equal to or greater than +/- \$4M:

- Authority is delegated to DASN(M&B). The required format for obtaining DASN(M&B) approval is provided in enclosures (2) and (3).

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NON-ACAT Programs in Budget Activities 1, 2, and 3:

For cumulative adjustments up to and including +/- \$3.999M and for cumulative adjustments within a single program element up to and including +/- \$3.999M:

- Authority is delegated to the Chief of Naval Research.

For cumulative adjustments equal to or greater than +/- \$4M and for adjustments between program elements equal to or greater than +/- \$4M:

- Authority is delegated to DASN(M&B). The required format for obtaining DASN(M&B) approval is provided in enclosures (2) and (3).

All other NON-ACAT Programs in Budget Activities 4 through 7:

For adjustments within a single claimancy, authority is delegated to the individual claimant.

For adjustments between claimants when there is concurrence among the individual claimants, authority is delegated to the individual claimants involved. Concurrence among individual claimants must be provided using enclosure (1) to the RDT&E,N Responsible Office (ONR 811) via ONR 81C (Pentagon). The written concurrence must be endorsed by an authorized official from each claimancy. Upon receipt of a completed enclosure (1), RDT&E,N RO will execute the adjustment.

For adjustments in which concurrence among claimants is not obtained, authority is delegated to DASN(M&B). The required format for obtaining DASN(M&B) approval is provided in enclosures (2) and (3).

Marine Corps Programs: ACATs I through IV are subject to the above guidance. Non-ACAT programs: authority is fully delegated to the Marine Corps.

Intelligence Programs: This guidance does not apply to Intelligence programs (TIARA, GDIP, NFIP, JMIP, and DGIAP). The DoD FMR Volume 3, Chapter 6 provides specific reprogramming authorities/approvals for these programs.

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Administrative Allocation Adjustments:

The following are defined as Administrative Allocation Adjustments:

- Changes to claimant designators (project prefixes) which have been approved and/or directed by a previous memo or MOU. (Changes affecting PEO or DRPM programs must have prior concurrence from the OASN(RD&A).)
- Expired year or Cancelled account adjustments between Claimants.
- Administrative corrections to previously approved reprogrammings.

These changes do not impact approved program scope. Approval authority is delegated to the RDT&E,N Responsible Office (ONR 08).

Definitions:

Claimant: For purposes of this memo, claimants are defined as any Systems Command, PEO, DRPM, and ONR.

Claimant Authorized Official: For purposes of this memo, claimant authorized officials are defined as the Syscom Comptroller for impacted Syscom resources, and the PEO/DRPM Budget Financial Manager for impacted PEO/DRPM resources.

BTR Review Guidance:

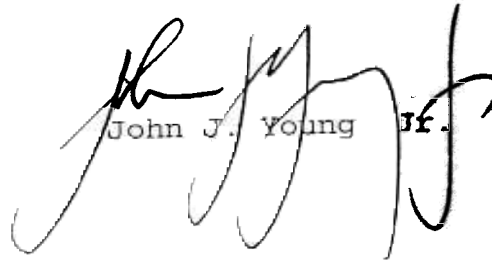
All BTRs, regardless of the amount, should be reviewed with the following guidelines in mind:

- Unauthorized New Start Programs may not be funded. DoD FMR Volume 3, Chapter 6 refers.
- Special Interest Item Congressional Adds may not be reduced from their appropriated level except by congressional action.
- The work funded by the reprogramming is within the scope of the R-2/R-3 exhibit submitted to Congress as amended by applicable congressional language.
- Intelligence programs may only be adjusted in accordance with DoD FMR guidance.
- The BTR may not result in a Program termination unless authorized by Congress.

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ADJUSTMENTS

BTRs may only be processed within the Program Elements
available Maximum Reprogramming Limitation (MRL) ceiling
and floor.

2. This memo supersedes references (a) and (b)


John J. Young Jr.

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Threshold Reprogramming and Administrative Allocation
Adjustments

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CHENG
DRPM (AAAV)
DRPM (SSP)
Director, NMCI
OPNAV (N091, N093, N096, N09B, N1, N2, N4, N6/7, N7SP, N8)
ONR 08E, 81C

MEMORANDUM FOR HEAD, NAVY-WIDE RDT&E FINANCIAL MANAGEMENT
DIVISION, OFFICE OF NAVAL RESEARCH

Subj: BELOW THRESHOLD REPROGRAMMING

Ref: (a) ASN(RD&A) memo of XX XXX XX

1. Request FY 2002 RDT&E,N funds be reprogrammed as reflected below in accordance with the reprogramming authority delegated in reference (a):

<u>BA</u>	<u>CL</u>	<u>PEO</u>	<u>PE/PROJECT</u>	<u>TITLE</u>	<u>FY XXXX (\$000)</u>		
					<u>ACAT</u>	<u>SPON</u>	<u>CHANGE</u>
X	XX	XXXX	0X0XXXXN/XXXXX	PE/Project Title			+\$
X	XX	XXXX	0X0XXXXN/XXXXX	PE/Project Title			-\$

2. Funds are reprogrammed for

3. This BTR has been coordinated with the appropriate Resource Sponsors and Program Offices. This BTR does not enlarge the scope of the approved program nor does it constitute a new start or program termination.

Losing PEO/DRPM BFM

Losing Syscom Comptroller

Gaining PEO/DRPM BFM

Gaining Syscom Comptroller

**RDT&E,N BTR DEFICIENCY IMPACT STATEMENT
FORMAT AND GUIDANCE**

PE:	PE Title:	Date
Project:	Project Title	ACAT
Claimant	PEO:	

Resource Sponsor Code:
POC Name/Code/Tel/E-mail

Funding (\$000K):	FY-PY	FY-CY	FY-BY
Current Authorized (PY/CY)	\$	\$	
President Budget (BY)			\$
Requested BTR Adjustment	\$+/-	\$+/-	\$+/-
Revised Funding	\$	\$	\$

Impact Information:

- In a summary executive format, justify the proposed funding increase. Provide background and supporting information, as necessary.
- Specify related guidance from higher authority.
- Describe the impact if the deficiency is not funded.
- Address any Navy, OSD, or Congressional issues or interest.
- Spell out all acronyms.
- Include the statements, "The deficiency funded by this adjustment is within the scope of the R-2/R-3 exhibit submitted to Congress, as amended by applicable congressional language. THIS ADJUSTMENT DOES NOT CONSTITUTE AN UNAUTHORIZED NEW START."
- Impact statements must be current (dated within past 30 days).

PM/PEO/DRPM BFM/SYSCOM Signature Date
(Typed name, title, office code,
phone number and e-mail)

CNO Resource Sponsor Signature Date
(Typed name, title, office code,
phone number and e-mail)

SYSCOM Comptroller Signature Date
(Typed name, title, office code,
phone number and e-mail)

**RDT&E,N BTR REDUCTION IMPACT STATEMENT
FORMAT AND GUIDANCE**

PE: PE Title: Date:
Project: Project Title: ACAT:
Claimant: PEO:

Resource Sponsor Code:
POC Name/Code/Tel/E-mail:

Funding (\$000K):	FY-PY	FY-CY	FY-BY
Current Authorized (PY/CY)	\$	\$	
President Budget (BY)			\$
Requested BTR Adjustment	\$+/-	\$+/-	\$+/-
Revised Funding	\$	\$	\$

Impact Information:

- BTR reviewing/approving officials need to be apprised of all risks and restrictions related to the proposed reduction. It is the responsibility of the submitting official to ensure that the reduction impact statement is complete, current and accurate, and fully informs BTR reviewing/approving officials.
- In a summary executive format, explain the impact of the proposed funding decrease. Provide background and supporting information, as necessary.
- Address any Navy, OSD, or Congressional issues or interest.
- Identify any impact to official milestones, or any impact that will cause a currently approved program to become unexecutable. Assess executability risk.
- Indicate if the Program Summary Document, or other documentation, will require modification if the cut is implemented.
- Explain any disproportionate impacts (such as a one-year slip because of a \$50K reduction to a \$10M per year program).
- If the reduction will not adversely impact program milestones, and the program will be able to execute in accordance with official guidance, impact information may be limited to "no impact".
- Spell out all acronyms.
- Impact statements must be current (dated within past 30 days).

PM/PEO/DRPM BFM/SYSCOM Signature Date
(Typed name, title, office code,
phone number and e-mail)

CNO Resource Sponsor Signature Date
(Typed name, title, office code,
phone number and e-mail)

SYSCOM Comptroller Signature Date
(Typed name, title, office code,
phone number and e-mail)